DIRMM   **U.S. DEPARTMENT OF TRANSPORTATION**   **DOT H 1350.2**
OFFICE OF THE SECRETARY

May 1998

Chapter 10-3

SUBJ: **FORMS MANAGEMENT POLICY**

1. **PURPOSE.** To implement policy for the Department of Transportation (DOT) forms management program.

2. **SCOPE.** The provisions of this policy apply to all DOT forms. Applicable provisions of this policy for non-DOT forms are contained in paragraph 7.

3. **REFERENCES.**

   a. The Paperwork Reduction Act of 1995 (PRA) (Chapter 35 of U.S.C. Title 44);

   b. Standard and Optional Forms Management Program (41 CFR Part 101-11.202);

   c. Control of Paperwork Burdens on the Public (5 CFR Parts 1320.3, 1320.5, and 1320.8);

   d. OMB Circular A-130, Management of Federal Information Resources; and

   e. DOT Order 0000.1B, Standard Subject Classification System of the Office of the Secretary.

4. **CANCELLATION.** Chapter 10-3 of DOT H 1350.2 (dated 10/4/93) and OST Order 1320.3A, Forms Management Service for the Office of the Secretary (dated 9/19/86).

5. **DEFINITIONS.** For the purposes of this chapter, the following definitions apply:

   a. **DOT Form.** A form which is Departmental in nature (i.e., used by multiple DOT organizational components) and has the designation "DOT" preceding the form number.

   b. **DOT Form Sponsor.** Individual representing the Office of Primary Interest (OPI) for each DOT form.

   c. **DOT Form Users.** Individuals authorized to use standard, optional, DOT, and other governmental forms to satisfy Departmental requirements, including DOT employees, support contractor personnel, industry, the general public, etc.

   d. **DOT Organizational Components.** Departmental Offices and Operating Administrations.

   e. **DOT Organizational Component Forms Manager(s).** Individual(s) designated by Departmental Offices/Operating Administrations as being the point(s) of contact for forms management issues.

   f. **Form.** Documents with captioned spaces that will be printed at some point.

   g. **Forms Management Steering Committee (FMSC).** A committee comprised of forms managers designated by DOT Organizational Components.

   h. **Forms Management Steering Committee Chair.** The Chief Information Office (S-80) representative for the Forms Management Steering Committee.

   i. **Non-DOT Form.** Form that does <u>not</u> have the designation "DOT" preceding the form number (i.e., a form specific to a DOT organizational component or from an entity external to DOT).

6. **GOAL.**

   a. To use Information Technology (IT) to facilitate the design, preparation, collection, storing, and printing of forms.

   b. To readily integrate common or frequently used information into IT systems (including data systems) and business processes:

      1) Using standard automated formats as appropriate; and

      2) Enabling easy information manipulation, storage, retrieval, and transmittal by users.

   c. To keep forms up-to-date and responsive to customer needs; and

   d. To make forms available electronically to facilitate local print on demand when necessary rather than bulk printing and stocking of forms.

7. **POLICY.** It is the Department's policy to establish a forms management program which includes providing specific guidance for DOT forms and encouraging DOT organizational components to establish and operate a forms management program for forms issued and used by their own organizations based on the policy for the DOT forms program described in this section:

   a. Use Standard Forms, Optional Forms, DOT Forms, and other government agency forms to the maximum extent feasible (rather than creating forms specific to individual organizations);

   b. Use the DOT standard classification system described in DOT Order 0000.1B to assign DOT form numbers, and encourage DOT organizational components to base their form numbers on the DOT Order numbering scheme;

c. Automate common or frequently used (e.g., 10 or more times annually) information and/or data elements using forms or integration into IT systems;

d. Periodically review forms and revalidate, revise, or eliminate unnecessary and out-of-date forms;

e. Consolidate forms containing similar or like data elements to avoid duplication;

f. Modify existing forms, versus designing new ones;

g. Adopt preferences for using forms management packages which utilize open systems versus proprietary architectures and which facilitate the sharing of forms and associated data across organizational boundaries;

h. Make forms available for access/use via the Internet and/or intranet to the extent feasible;

i. Store information commonly and/or jointly used by DOT organizational components (e.g., budget/financial management data; performance milestone information) in data repositories or other data systems which allow interoperability;

j. Conserve natural resources by eliminating or mitigating the use of colored-paper and multi-part forms and reducing paper forms; and

k. Ensure that centralized forms management policy decisions are made in a collaborative manner with the FMSC and in a manner which ensures compliance with applicable laws and regulations, such as the PRA, and Freedom of Information and Privacy Acts.

8. **RESPONSIBILITIES.** The following responsibilities, which may be delegated as deemed appropriate, are applicable:

a. The Chief Information Officer (CIO), Office of the CIO (S-80) has the following responsibilities for the DOT forms management program functions:

   1) Issuing and ensuring compliance with DOT forms management policy;

   2) Reviewing DOT forms periodically for continued effectiveness and improvements as necessary;

   3) Establishing the FMSC and designating a chair;

   4) Designating an executive-agency Standard and Optional Forms liaison and alternative and notifying the General Services Administration (GSA) in writing of such designee's names, titles, mailing addresses, and telephone numbers within 30 days of the designation;

   5) Serving as the central point of contact for DOT in matters related to Standard, Optional, DOT, and other government agency forms and working with DOT forms sponsors and DOT organizational component form managers on issues concerning such forms;

6) When requested by GSA and/or the Office of Management and Budget (OMB), submitting a summary of the Standard and Optional forms used for collection of information covered by 5 CFR Part 1320;

7) Assigning blocks of form numbers to DOT forms sponsors and prescribing a DOT forms numbering format in accordance with Appendix A; and

8) Maintaining a master listing of all current DOT forms and establishing electronic versions of and creating linkages to DOT forms via the DOT CIO Internet Homepage.

b. The Forms Management Steering Committee (FMSC) is responsible for the following functions:

1) Establishing strategies/policy for the Departmental forms management program;

2) Establishing Departmental forms management standards and protocols;

3) Assessing the viability of DOT-wide forms packages, etc.;

4) Determining which forms are candidates for integration into other processes, IT systems, and/or broader data management strategies; and

5) Meeting periodically (generally quarterly) to discuss forms management issues.

c. DOT Forms Sponsors are responsible for the following functions:

1) Determining that a form should be categorized as a DOT form based on:

   a) an evaluation that the form's function is Departmental in nature and/or;

   b) an assessment that a substantial amount of the information included on the form is the same or similar to that used on multiple Departmental organizational component forms;

2) Making decisions on whether to create, revise, eliminate, or integrate DOT forms for which they are cognizant into an IT system;

3) Developing and modifying DOT forms for which they are the sponsor;

4) Integrating DOT forms into IT systems and coordinating such integration activities with DOT organizational component forms managers/potential forms users prior to, during, and after implementation (including notifying DOT organizational components in a timely manner of anticipated supported equipment/software needs and requisite training);

5) Assigning specific DOT form numbers based on the guidance in Appendix A;

6) Providing the CIO Office, at least 10 working days prior to the effective form implementation date:

   a) the title/subject of the new/revised/eliminated/system integrated DOT form;

   b) the assigned form number;

   c) a brief explanation of why the form has been created, revised, eliminated, or integrated into an IT system; and

   d) an electronic version of the DOT form or an electronic address for users to enable form accessibility via a DOT CIO Internet Homepage electronic link;

7) Providing the names of the cognizant DOT Forms Sponsor/alternate to the CIO Office within 30 days of implementation of this guidance;

8) Providing updates of the names of the cognizant DOT Forms Sponsor/alternate to the CIO Office within 10 days of the change; and

9) Providing representation for the FMSC as needed.

d. DOT Organizational Component Forms Managers are responsible for the following functions:

1) Providing the names of the cognizant DOT organizational component forms manager/ alternate to the CIO Office within 30 days of implementation of this guidance;

2) Providing updates of the names of the cognizant DOT organizational component forms manager/alternate to the CIO Office within 10 working days of the change;

3) Serving as a member of the FMSC;

4) Serving as the primary point of contact for the DOT CIO Office, DOT forms sponsors, and DOT organizational component form users on forms issues; and

5) Coordinating forms issues within the DOT organizational component and collaborating with the DOT CIO Office as necessary to address issues and resolve problems.

e. DOT Form Users are responsible for the following functions:

1) Requesting the DOT forms sponsor, via their DOT organizational component forms manager, to create new DOT forms or revise, eliminate, correct problems, or integrate DOT forms into IT systems and notifying the DOT CIO of such requests;

2) Requesting the DOT organizational component forms manager to create new non-DOT forms or revise, eliminate, correct problems, or integrate non-DOT forms into IT systems; and

3) Using Standard, Optional, and DOT forms as prescribed.

9. APPENDIX A.

a. The numbering system used for DOT forms is in accordance with DOT Order 0000.1B, Standard Subject Classification System of the Office of the Secretary, dated 6-6-74. When assigning form numbers, DOT forms sponsors shall use the following format: DOT F [subject classification code, as shown in attached chart] [period] [sequential number of form][sequential letter of alphabet to indicate version of form (not included for new forms)]. Thus, for example, a new form associated with DOT employee retirement could be assigned the following nomenclature: DOT F 3830.1, and the first modification to it would be designated DOT F 3830.1A.

b. In accordance with the guidance in DOT Order 0000.1B, DOT organizational components are encouraged to use the standard subject classification system when assigning non-DOT form numbers – just varying the prefix from DOT to BTS, FAA, FHWA, etc. as appropriate.

10. REQUEST FOR INFORMATION. Information concerning the DOT forms program may be addressed to the DOT Office of the CIO, S-80.

11. DISTRIBUTION. This chapter is electronically distributed to Departmental Offices and Operating Administrations via e-mail and is available on the DOT CIO Homepage (http://cio.ost.dot.gov).

APPENDIX A

DOT FORMS SUBJECT CLASSIFICATION CODES

CODE SUBJECT	DOT FORMS SPONSOR
0000 Classification Codes, Checklists, and Indexes	OST, S-10
1000 Management Analysis, Reengineering, and General Administration	OST, M-1
1050 Civil Rights	OST, S-30
1090 Determination and Transfer Orders	TBD
1100 Organization, Authorities, Functions, and Internal Relationships	OST, S-10
1120 Committees and Conference	OST, S-10
1130 Field Facilities	OST, S-10
1200 External Relationships	OST, I-1
1210 Public Relations	OST, A-1
1220 Congressional Relations	OST, I-10
1230 Government Relations	OST, I-20
1240 International Relations	OST, X-1
1250 Transportation Education Programs	OST, M-1
1270 Industry/Labor Relations	OST, M-10
1300 Management Systems and Standards	OST, M-1
1310 Management Analysis, Surveys, Industrial Engineering, and Value Eng.	OST, M-1
1320 Paperwork Management	OST, S-80
1321 Directives Management	OST, S-10
1322 Forms Management	OST, S-80
1323 Reports Management	OST, S-10
1324 Records Management	OST, S-80
1325 Correspondence and Mail Management	OST, S-10
1340 Management Information Systems	OST, S-80
1360 Publishing and Audio-Visuals Management	OST, M-40
1370 Data Processing Management	OST, S-80
1390 Appraisal and Evaluation Systems	OST, M-1
1500 Travel and Transportation (persons and personal effects)	OST, B-30
1600 Investigations and Security Programs	OST, M-40
1620 General Investigations	OST, M-40
1630 Personnel Security	OST, M-40
1640 Information Security	OST, S-80
1660 Property Protection	OST, M-40
1680 Identification Media	OST, M-40
1700 Administration Support	OST, M-40
1710 Publishing, Photography, and Graphics Services	OST, M-40
1720 Library Services	OST, M-40
1730 Office Services	OST, M-40
1740 Communications	OST, S-80

CODE	SUBJECT	DOT FORMS SPONSOR
1900	Emergency Preparedness	RSPA, DET-1
1910	Operational Plans	RSPA, DET-1
1930	Chemical, Biological, and Radiological Defense	OST, S-60
1940	Emergency Resources Management	RSPA, DET-1
1950	Reports, Tests, and Exercises	RSPA, DET-1
2000	Legal	OST, C-1
2150	Claims and Litigation	OST, C-30
2300	Financial Management – General	OST, B-30
2700	Accounting	OST, B-30
2710	General Financial Reports	OST, B-1
2730	Payroll, Leave, and Allowances	OST, B-30
2750	Voucher Examination and Certification	OST, B-30
2770	Collection, Safekeeping, Deposit, and Disbursement of Funds	OST, B-30
2900	Auditing	OIG, J-1
2910	Audit Reporting	OIG, J-1
2920	Internal Auditing	OIG, J-1
2930	External Auditing	OIG, J-1
2960	General Accounting Office Audits	OST, M-1
3000	Personnel Management	OST, M-10
3200	Personnel Provisions – General	OST, M-10
3210	Personnel Concepts and Definitions	OST, M-10
3211	Veteran Preference	OST, M-10
3212	Competitive Service and Status	OST, M-10
3213	Excepted Service	OST, M-10
3240	Military Personnel	USCG, G-W
3250	Personnel Program Control and Direction	OST, M-10
3253	Personnel Program Inspections, Surveys, and Audits	OST, M-10
3290	Personnel Records and Document Processing	OST, M-10
3291	Personnel Reports	OST, M-10
3293	Personnel Records and Files	OST, M-10
3295	Processing Personnel Actions	OST, M-10
3300	Employment	OST, M-10
3305	Executive Personnel	OST, M-10
3330	Recruitment, Selection, and Placement	OST, M-10
3335	Promotion and Internal Placement	OST, M-10
3350	Job Retention	OST, M-10
3351	Reduction-in-Force	OST, M-10
3352	Reemployment Rights	OST, M-10
3353	Restoration after Military Duty	OST, M-10
3400	Employee Performance and Utilization	OST, M-10
3410	Employee Training and Development	OST, M-10
3412	Management Training and Development	OST, M-10

CODE SUBJECT   **DOT FORMS**
                                                                         SPONSOR

3430	Performance Evaluation	OST, M-10
3450	Incentive Awards and Employee Recognition	OST, M-10
3500	Position Classification, Pay, and Allowances	OST, M-10
3510	Position Classification and Job Evaluation	OST, M-10
3530	Pay Rates and Systems	OST, M-10
3550	Pay Administration	OST, M-10
3590	Allowances and Differentials	OST, M-10
3600	Attendance and Leave	OST, M-10
3700	Personnel Relations and Services	OST, M-10
3710	Labor/Management Relations	OST, M-10
3730	Employee Responsibilities and Conduct	OST, M-10
3731	Suitability	OST, M-10
3733	Political Activity	OST, M-10
3750	Employee Discipline	OST, M-10
3770	Grievances, Appeals, and Hearings	OST, M-10
3790	Services to Employees	OST, M-10
3800	Retirement and Insurance	OST, M-10
3830	Retirement – CSRS	OST, M-10
3840	Retirement – FIRS	OST, M-10
3870	Life Insurance	OST, M-10
3890	Health Insurance	OST, M-10
3900	Special Personnel Programs and Activities	OST, M-10
3901	Health Service Program	OST, M-10
3960	Employee Recreation and Welfare Activities	OST, M-10
3970	Fund-Raising Campaigns	OST, M-10
4000	Logistics Management – General	OST, M-40
4200	Procurement	OST, M-60
4210	Authorities/Responsibilities/Regulations	OST, M-60
4220	Contracting	OST, M-60
4230	Small Purchasing	OST, M-60
4240	Requisitioning/Ordering	OST, M-60
4250	Personal Services	OST, M-60
4300	Real Property Management	OST, M-40
4310	Authorities/Responsibilities/Regulations	OST, M-40
4320	Facilities Planning	OST, M-40
4330	Facilities Management (includes Space)	OST, M-40
4340	Services	OST, M-40
4400	Personal Property Management	OST, M-40
4410	Authorities/Responsibilities/Regulations	OST, M-40
4420	Supply, Inventory Management	OST, M-40
4430	Property in Use Management	OST, M-40
4440	Vehicle Management	OST, M-40

CODE SUBJECT	DOT FORMS SPONSOR
4500 Commercial/Industrial Activities	OST, M-40
4510 Authorities/Responsibilities/Regulations	OST, M-40
4520 Commercial Including Commissary, Messing, Laundry, Housekeeping	OST, M-40
4530 Industrial	OST, M-40
4540 Public Services	OST, M-40
4600 Grant Management	OST, M-60
4610 Authorities/Responsibilities/Regulations	OST, M-60
4620 Grants	OST, M-60
4630 Grants-in-Aid	OST, M-60
5000 Program Planning and Management	OST, S-3
5010 Economic Affairs (includes Economic Anal., Model Dev. & Forcasting)	OST, P-30
5020 Program Coordination and Evaluation (includes Federal, State, Local Industry, and Intermodal)	OST, S-3
5030 Policy Development and Coordination Program Financial Methods (includes Loan Guarantee, Taxes, User Charges – See 4600 for Grants Management)	OST, P-30
5050 Regional Transportation Systems	OST, S-3
5100 Planning, Programming, and Budgeting	OST, B-1
5110 Special Studies	OST, B-10
5120 Program Proposals	OST, B-10
5122 Program Data Summaries	OST, B-10
5130 Departmental Review	OST, B-10
5135 Secretarial Review	OST, B-10
5137 Internal DOT Appeals	OST, B-10
5140 Program Memoranda	OST, B-10
5142 Program and Financial Plan	OST, B-10
5150 Budget Submissions – DOT Review	OST, B-10
5160 Budget Submissions – OMB Review	OST, B-10
5170 Budget Submissions – Congressional Review	OST, B-10
5180 Budget Execution	OST, B-10
5190 Budget Reports	OST, B-10
5200 Manpower Management	OST, M-10
5300 Transportation Programs and Policies – General	OST, S-3
5320 Containerization	OST, S-3
5340 Documentation and Procedures	OST, S-3
5360 Transport Systems	OST, S-3
5400 Telecommunications	OST, S-80
5410 Data/Computer	OST, S-80
5420 Radio Frequency Management	OST, P-1
5430 Landline (telephone, telegraph)	OST, S-80
5440 Space/Satellites	OST, P-1
5450 Radionavigational	OST, P-1

CODE SUBJECT   **DOT FORMS**
                                                                         SPONSOR

Code	Subject	Sponsor
5460	Command and Control Systems	OST, S-80
5470	Environmental	OST, P-1
5500	Transportation Facilitation	OST, S-3
5600	Environmental Quality and Impact	OST, P-10
5610	Environmental Policy Act	OST, P-10
5620	Community Impact	OST, P-10
5630	Noise Control	OST, P-10
5640	Pollution Control	OST, P-10
5650	Protection and Enhancement	OST, P-10
5660	Parks, Recreational Areas, Wildlife, & Waterfowl Refuge, & historic Sites	OST, P-10
5670	Oceanography	OST, P-10
5680	Meteorology	OST, P-10
5690	Polar Operations	OST, P-10
5800	Transportation Safety	OST, P-1
5820	Air Safety	OST, P-10
5840	Highway Safety	OST, P-10
5860	Marine Safety	OST, P-10
5880	Rail Safety	OST, P-10
6000	Air Transportation	OST, X-1
6010	Airports	OST, X-1
6020	Airways Facilities and Equipment	OST, X-1
6030	Air Traffic Management and Operations	OST, X-1
6040	Airspace Allocation and Use	OST, X-1
6050	Aircraft	OST, X-1
6100	Highway Transportation	OST, S-3
6110	Highways	OST, S-3
6120	Highway Design, Construction and Maintenance	OST, S-3
6130	Highway Networks	OST, S-3
6150	Motor Traffic Management	OST, S-3
6170	Motor Vehicles	OST, S-3
6200	Marine Transportation	OST, S-3
6210	Shore Facilities	OST, S-3
6220	Ships	OST, S-3
6230	Waterways and Territorial Waters	OST, S-3
6240	Marine Navigation	OST, S-3
6250	Marine Patrols	OST, S-3
6260	Merchant Vessels	OST, S-3
6300	Railroad Transportation	OST, S-3
6310	Railroad Transportation	OST, S-3
6330	Locomotives and Rolling Stock	OST, S-3
6350	Railroad Traffic Management	OST, S-3
6370	High Speed Ground Transportation	OST, S-3

CODE SUBJECT   **DOT FORMS
                                                               SPONSOR**

6400 Certification Programs   TBD
6500 Urban Transportation   OST, S-3
6520 Urban Transportation Systems   OST, S-3
6550 Design, Construction, and Maintenance of Urban Transit Facilities & Equip.OST, S-3
7000 Transportation Research and Technology   RSPA, DRA-1
7020 Aviation Research and Technology   RSPA, DRA-1
7040 Highway Research and Technology   RSPA, DRA-1
7060 Maritime Research and Technology   RSPA, DRA-1
7080 Railroad Research and Technology   RSPA, DRA-1